

**PATENT APPLICATION**

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Inventor(s): Dr. Hen-Geul Yeh and Dr. Charles C. Wang

**Title: Parallel Orthogonal Frequency Division Multiplexed Communication System**

## SPECIFICATION

**Field of the Invention**

The invention relates to the field of communication systems. More particularly, the present invention relates to orthogonal communication systems having channel frequency division multiplexing.

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## Background of the Invention

Communication systems use various modulation and multiplexing techniques for communicating signals from a transmitter to a receiver. Multicarrier modulations, such as orthogonal frequency division multiplexing (OFDM), have been used due to advantages of improved bandwidth efficiency and data throughput over, for examples, the mobile radio channel. OFDM is an effective technique to mitigate the effects of delay spread introduced by the mobile radio channels. OFDM provides high spectral efficiency by adopting the orthogonal subcarriers and reduces the effects of intersymbol interference (ISI) by inserting the guard time between symbols to accommodate the delay spread caused by multipath.

Due to the advantages of improving bandwidth efficiency and data throughput over fading dispersive channels, OFDM has been used in many new digital wireless applications including digital video broadcasting, digital audio broadcasting, and wireless local area networks. The OFDM technique has also been proposed for a new third generation wireless systems. One of the major disadvantages of such a multicarrier modulated system is the performance sensitivity to frequency offsets. A frequency offset can result from a Doppler shift due to the mobile environment as well as from a carrier frequency synchronization error. Such a frequency offset causes a loss of the carrier orthogonality, and hence, self-introduced

1 intercarrier interference (ICI). ICI, due to frequency offsets,  
2 affects the performance of OFDM communication systems.  
3

4 In an OFDM system, the input binary data stream is firstly  
5 mapped to a signal constellation of M-ary phase shifted keying  
6 modulation or M-ary quadrature amplitude modulation. Regardless  
7 of the modulation scheme used, the mapped symbols can be  
8 represented by a series of complex numbers in vector space.  
9 Then, N complex numbers are grouped together and in turn  
10 amplitude modulated onto N orthogonal subcarriers. These N  
11 modulated subcarriers are combined to form a composite signal  
12 called an OFDM symbol. The duration  $T_{OFDM}$  for an OFDM symbol is  
13  $N \cdot T_s$  where  $T_s$  is the data symbol time duration. The mapping,  
14 grouping, amplitude modulation, and combining processes  
15 continues for every N data symbols of complex numbers. Each  
16 input M-ary data stream is communicated by frequency division  
17 across the frequency bandwidth of the communication channel. On  
18 the receiver side, OFDM symbols are frequency demodulated using  
19 the same N subcarriers. At the end of each OFDM symbol, the  
20 magnitude of a complex value associated with each of the N  
21 subcarriers will be extracted. These N complex numbers are  
22 placed in sequential order and the M-ary data is recovered  
23 based on the signal constellation mapping. It is well known  
24 that the discrete Fourier transforms (DFT) can be used to  
25 realize the orthogonal frequency modulation. Also, the forward  
26 fast Fourier transform (FFT) is an effective way to implement  
27 the DFTs.  
28

1 Referring to Figures 1A and 1B, a conventional OFDM  
2 transmitter, shown as a module, and a conventional OFDM  
3 receiver, also shown as a module, form a conventional OFDM  
4 communication system. The transmitter includes an inverse FFT  
5 (IFFT) and the receiver includes an FFT. In the conventional  
6 OFDM transmitter, a serial-to-parallel operation and a mapping  
7 operation essentially perform the grouping of N consecutive  
8 data symbols into N parallel inputs to IFFT. The IFFT will take  
9 time to complete the inverse transform operation, which  
10 essentially puts N parallel inputs to N orthogonal subcarriers.  
11 After the IFFT operation, N symbols are serialized by a  
12 parallel-to-serial operation with an equal-time spacing between  
13 consecutive samples of the IFFT output sequence. The output  
14 sequence is transmitted using conventional digital-to-analog  
15 conversion and high power amplification, not shown. The reverse  
16 operations to the transmitter occur in the receiver. The  
17 existing forward and inverse transforms of the conventional  
18 OFDM system is given by a transmitter baseband IFFT equation  
19 and a receiver baseband FFT equation.  
20

21 The IFFT employed at the transmitter is defined by the  
22 transmitter baseband IFFT equation.  
23

$$x_k = \sum_{n=0}^{N-1} d_n e^{\frac{j2\pi}{N} nk} \quad k = 0, 1, 2, \dots, N-1$$

25 In the transmitter baseband IFFT equation,  $d_n$  is the  
26 sequence of input data symbols,  $k$  is the output symbol index,  $N$   
27 is the number of subcarriers,  $x_k$  is the output of the IFFT  
28 transmitter. After the IFFT transmitter output  $x_k$  is

1 communicated over an additive white Gaussian noise (AWGN)  
2 channel, the received signal is  $r_k = x_k + w_k$  where  $w_k$  is the  
3 channel AWGN. The FFT employed at the receiver is defined by  
4 the receiver baseband FFT equation.

$$6 \hat{d}_k = \frac{1}{N} \sum_{n=0}^{N-1} r_n e^{-j \frac{2\pi}{N} nk} \quad k = 0, 1, 2, \dots, N-1$$

9  
10 In the receiver baseband FFT equation,  $\hat{d}_k$  is the output of  
11 the FFT receiver as the estimated transmitter input data  
12 symbol, and  $N$  is the number of subcarriers. In order to  
13 maintain orthogonality without crosstalk among the subcarriers  
14 at the receiver, two conditions must be satisfied, that is, the  
15 demodulating carriers need to be exactly aligned with the  
16 transmitted carriers, and the receiver demodulation process  
17 takes place over a period of time exactly equal to the  
18 reciprocal of the subcarrier spacing  $\Delta f$ . If either of these  
19 conditions does not exist, the orthogonality is no longer  
20 perfectly maintained and the intercarrier interference (ICI),  
21 or, crosstalk, is self-generated. One of the major  
22 disadvantages of an OFDM system is the sensitivity of  
23 performance to a frequency offset. The frequency offset can  
24 result from a Doppler shift due to mobile environment as well  
25 as from a carrier frequency synchronization error. Such a  
26 frequency offset causes a loss of subcarrier orthogonality, and  
27 hence, self-introduced ICI. As a result, the desired signal is  
28 distorted and the bit-error-rate (BER) performance is degraded.

1 An OFDM signal is a composite signal of N component  
2 signals, modulated on N orthogonal subcarriers. The desired  
3 component signal should ideally be only on the desired  
4 subcarrier of interest. In the presence of frequency offset,  
5 the signal strength at any desired subcarrier will be reduced  
6 and the signal will leak into other undesired subcarriers,  
7 meaning that there exists ICI from a subcarrier to other  
8 subcarriers, at the output of the FFT receiver. Without losing  
9 generality, the desired component signal is on the subcarrier  
10 with an index zero for the FFT operation. Referring to all of  
11 the Figures, and particularly to Figure 2, a weighting factor  
12 is defined as the square root of the percentage of the signal  
13 power, located on a particular subcarrier, that leaks to each  
14 of the other undesired subcarriers. When there is no frequency  
15 offset, the weighting factor should be 1.0 at the subcarrier  
16 index zero, and the weighting factor should be zero for all  
17 other indices. For weighting factors of a 16-point FFT with a  
18 frequency offset of  $0.2 \cdot \Delta f$ , the weighting factor on the desired  
19 signal is less than 1 and those on other undesired subcarriers  
20 are greater than 0. These non-zero weighting factors represent  
21 ICI. Practically, there is a limitation on the frequency offset  
22 that an OFDM receiver can tolerate. Such limitations for a 16-  
23 QAM OFDM system is 4% or less of  $\Delta f$ . Conventional systems have  
24 a 4% frequency offset limitation of the intercarrier frequency  
25 spacing when  $N=16$ .

26  
27 The existing architecture of OFDM includes a transmitter,  
28 and using an inverse transform function, communicating with a

1 receiver using a forward transform function. These paired  
2 transform functions are well known to have a limitation on the  
3 frequency offset that the receiver can tolerate within  
4 acceptable performance expectations. This performance  
5 limitation results from signal distortion due to the  
6 intercarrier interference when the frequency offset exists.  
7 These and other disadvantages are solved or reduced using the  
8 invention.

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### Summary of the Invention

An object of the invention is to provide improved performance of an orthogonal frequency division multiplexed (OFDM) communications system.

Another object of the invention is to provide an orthogonal frequency division multiplexed (OFDM) communications system using a parallel architecture.

Yet another object of the invention is to provide an OFDM communications system using a parallel architecture with improved performance in the presence of frequency offsets.

Still another object of the invention is to provide an OFDM communications system using a parallel architecture with two parallel but inverse functioning transforms in the transmitter, and with two parallel inverse function transforms in the receivers for improved performance in the presence of relative frequency offsets and Doppler frequency offsets.

The present invention is directed to a parallel architecture for an orthogonal communication system having divisional multiplexing (DM) and have dual inverse transformation operations. In the preferred form, the divisional multiplexing is frequency division multiplexing, and hence, the present invention is directed to an OFDM communications system. The transmitter and receiver use inverse

1 transforms that do not affect subcarrier orthogonality. The  
2 forward fast Fourier transform (FFT) and the inverse fast  
3 Fourier transform (IFFT) are used in the preferred form. The  
4 parallel architecture provides for the communication of a  
5 second multiplexed signal that is combined during reception for  
6 providing improved performance in the presence of frequency  
7 offsets.

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9 An OFDM transmitter is equipped with a conventional  
10 inverse fast Fourier transform (IFFT) OFDM transmitter module  
11 connected in parallel to a forward fast Fourier transform (FFT)  
12 OFDM transmitter module, with both transmitter modules  
13 divisionally multiplexed together for providing two separate  
14 signals prior to transmission. The OFDM receiver is equipped  
15 with a conventional FFT OFDM receiver module connected in  
16 parallel to a parallel IFFT OFDM receiver module, with both  
17 receiver modules connected to a front end demultiplexer. That  
18 is, the parallel transmitter architecture includes a  
19 conventional IFFT transmitter module in parallel with a  
20 parallel FFT transmitter module, and the parallel receiver  
21 architecture includes a conventional FFT receiver module in  
22 parallel with a parallel IFFT receiver module. Hence, both the  
23 transmitter and receiver provide dual FFT and IFFT operations,  
24 along separate but parallel processing paths, differentiated by  
25 a transmitter back end multiplexer and a receiver front end  
26 demultiplexer. The parallel architecture contains the  
27 conventional OFDM operation and an additional parallel inverse  
28 OFDM operation. The conventional transmitter IFFT module

1 operates in combination with the conventional receiver FFT  
2 module. The parallel transmitter FFT module operates in  
3 combination with the parallel receiver IFFT module. The use of  
4 a transmitter divisional multiplexer (DM) and a receiver  
5 divisional demultiplexer (DD) enable the two parallel  
6 processing paths to be processed together through a single  
7 transmitter and receiver.

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9 The dual architecture provides additional signal diversity  
10 to the OFDM communication system. The parallel architecture  
11 provides improved performance for the OFDM system in the  
12 presence of relative frequency offsets and Doppler frequency  
13 offsets, and provides improved tracking capability for the  
14 receiver, while further providing backward compatibility with  
15 conventional OFDM systems. The combination of the two parallel  
16 transformation paths is used to provide improved system  
17 performance. This dual function effectively provides signal  
18 diversity.

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20 The divisional multiplexing and divisional demultiplexing  
21 functions are preferably frequency division multiplexing, but  
22 can be code division multiplexing, or time division  
23 multiplexing, all of which respectively provide code diversity,  
24 frequency diversity, or time diversity. The receiver contains a  
25 divisional demultiplexer for demultiplexing the input signal to  
26 either the conventional FFT receiver module or the parallel  
27 IFFT receiver module. The divisional demultiplexer decomposes  
28 the divisional multiplexed input to the receiver for providing

1       respective forward and inverse transformed received signals.  
2       The forward and inverse transformed received signals after  
3       respective FFT and IFFT operations are demodulated  
4       simultaneously and combined to form the final detected data  
5       symbol signal offering improved system performance.

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7       In the presence of frequency offset, there exists inter-  
8       carrier interference (ICI) from a subcarrier to other  
9       subcarriers at the output of the conventional FFT receiver  
10      module. As a result, the signal strength at any desired  
11      subcarrier will be reduced and the signal will leak into other  
12      undesired subcarriers. In the parallel architecture, the  
13      parallel IFFT receiver module generates an ICI signal that has  
14      the opposite polarity to the one generated by the conventional  
15      FFT receiver module. Therefore, after combining the two  
16      demodulated signals from two parallel paths, the majority part  
17      of the ICI signal is cancelled out with some residual ICI  
18      signal left. The parallel OFDM system provides significantly  
19      smaller weighting factors on undesired subcarriers while  
20      maintaining the same weighting factor on the desired subcarrier  
21      as that of the conventional OFDM system. As a result, the ICI  
22      is significantly reduced with improved performance.

23

24       Conventional OFDM communications systems can be upgraded  
25      to add the parallel OFDM FFT module in the transmitter and OFDM  
26      IFFT module in the receiver with backward compatibility. The  
27      backward compatibility is retained because the parallel  
28      structure contains the conventional architecture as a standing-

1 alone operation with the additional parallel functions. These  
2 and other advantages will become more apparent from the  
3 following detailed description of the preferred embodiment.

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#### **Brief Description of the Drawings**

Figure 1A is a block diagram of an orthogonal frequency division multiplexed transmitter.

Figure 1B is a block diagram of an orthogonal frequency division multiplexed receiver.

Figure 2 is a graph of orthogonal frequency division multiplexed weighting factors.

Figure 3 is a graph of the signal to intercarrier interference ratio.

Figure 4 is a graph of the bit error rate of orthogonal frequency division multiplexed systems.

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## Detailed Description of the Preferred Embodiment

3 An embodiment of the invention is described with reference  
4 to the figures using reference designations as shown in the  
5 figures. Referring to Figures 1A, an orthogonal frequency  
6 division multiplexing (OFDM) transmitter includes a  
7 conventional OFDM transmitter module in parallel to a parallel  
8 OFDM transmitter module. Serial input symbols are fed into a  
9 first serial-to-parallel converter for providing a first  
10 parallel symbols input to a first data-to-subcarrier mapper.  
11 The first data-to-subcarrier mapper provides first parallel  
12 subcarrier data to an N-point inverse fast Fourier transform  
13 (IFFT) providing parallel inverse transformed data that is  
14 serialized by a parallel-to-serial converter for providing a  
15 first serial transmitter output. Preferably, the parallel  
16 subcarrier data from the data-to-subcarrier mapper of the  
17 conventional OFDM transmitter module is clocked into an N-point  
18 fast Fourier transform (FFT) that provides parallel forward  
19 transformed data. It should be apparent that the parallel OFDM  
20 transmitter module may alternatively have a second serial-to-  
21 parallel converter and a second data mapper so as to receive  
22 the input symbols and provide a second parallel symbols input  
23 and second parallel subcarrier data to the FFT in the parallel  
24 OFDM transmitter module. The parallel forward transformed data  
25 from FFT in the parallel OFDM transmitter module is serialized  
26 by a second parallel-to-serial converter for providing a second  
27 serial transmitter output. The first and second serial  
28 transmitter outputs are fed into a divisional multiplexer for

1 combining the first and the second serial transmitter outputs  
2 as a divisional multiplexed transmitter composite output  
3 signal. In the preferred form, frequency division is used, but  
4 code and time divisional multiplexing could be used as well.  
5 The composite transmitter output signal is communicated over a  
6 channel, and is received by a receiver as a composite received  
7 input signal.

8

9 Referring to Figure 1B, an OFDM receiver includes a  
10 conventional OFDM receiver module and a parallel OFDM receiver  
11 module. The divisional multiplexed transmitter composite output  
12 signal is communicated over the channel and is received as the  
13 composite received signal. The composite received signal is fed  
14 into a divisional demultiplexer in the OFDM receiver for  
15 demultiplexing the composite received signal into an inverse  
16 transformed received signal and a forward transformed received  
17 signal. The inverse transformed received signal originates from  
18 the first serial transmitter output and the forward transformed  
19 received signal originates from the second serial transmitter  
20 output.

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22 The inverse transformed received signal is communicated to  
23 the conventional OFDM receiver module and fed into a first  
24 serial-to-parallel converter for providing first parallel  
25 received inputs. In the conventional OFDM receiver module, the  
26 first parallel received inputs are fed into an N-point FFT for  
27 providing first parallel mapped signals. The first parallel  
28 mapped signals are fed into a first subcarrier-to-data mapper

1 for providing first parallel demodulated signals that are in  
2 turn fed into a first parallel-to-serial converter for  
3 providing a first serial demodulated signal.

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5 In the parallel OFDM receiver module, the forward  
6 transformed received signal is communicated to a second serial-  
7 to-parallel converter for providing second parallel received  
8 inputs. In the parallel OFDM receiver module, the second  
9 parallel received inputs are fed into an N-point IFFT for  
10 providing second parallel mapped signals. The second parallel  
11 mapped signals are fed into a second subcarrier-to-data mapper  
12 for providing second parallel demodulated signals that are in  
13 turn fed into a second parallel-to-serial converter for  
14 providing a second serial demodulated signal. Finally, the  
15 first and second demodulated signals are summed together by a  
16 summer for providing an average output signal. In this manner,  
17 two receiver output signals, independently processed and  
18 generated by parallel forward and inverse transformation  
19 processes, are averaged for providing an output signal, which  
20 is the estimate of the input symbol sequence into the  
21 transmitter.

22

23 The parallel OFDM system employs transform processes that  
24 can be described by equations. The transform processes include  
25 two conventional transforms and two additional transforms. The  
26 transmitter contains the conventional transmitter IFFT module  
27 that is described by the transmitter baseband IFFT equation,

1 and the parallel transmitter FFT module, that is described by a  
2 transmitter baseband FFT equation.

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$$x_k = \sum_{n=0}^{N-1} d_n e^{-j \frac{2\pi}{N} nk} \quad k = 0, 1, 2, \dots, N-1$$

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8 In the transmitter baseband FFT equation,  $d_n$  is the  
9 sequence of input data symbols,  $k$  is the FFT output symbol  
10 index,  $N$  is the number of subcarriers, and  $x'_k$  is the output of  
11 the parallel transmitter FFT module. The receiver contains the  
12 conventional receiver FFT module and the parallel receiver IFFT  
13 module. After the parallel transmitter FFT output  $x'_k$  is  
14 communicated over an additive white Gaussian noise (AWGN)  
15 channel, the parallel transmitter FFT output is then passed  
16 through the second serial-to-parallel converter. The second  
17 parallel received input to the parallel receiver IFFT module is  
18  $r'_k = x'_k + w'_k$  where  $w'_k$  is the channel AWGN. The parallel receiver  
19 IFFT module is described by a receiver baseband IFFT equation.

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21 
$$\hat{d}_k = \frac{1}{N} \sum_{n=0}^{N-1} r'_n e^{j \frac{2\pi}{N} nk} \quad k = 0, 1, 2, \dots, N-1$$

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24 The outputs from the conventional receiver FFT module and  
25 the parallel receiver IFFT module are summed by the summer to  
26 combine the receiver IFFT and FFT outputs as described in a  
27 receiver baseband combine equation.

$$\hat{d}_{avek} = \frac{1}{2}(\hat{d}_k + \hat{d}_{k'}) \quad k = 0, 1, 2, \dots, N-1$$

In the receiver baseband IFFT equation,  $\hat{d}_k$  is the output of the receiver IFFT module,  $N$  is the number of subcarriers. In the receiver baseband combine equation,  $\hat{d}_{avek}$  is the average received signal providing improved performance.

When a frequency offset exists, the FFT operation alone in the receiver will generate intercarrier interference (ICI), which will interfere with the data on the desired subcarrier and in turn degrade the performance. The additional receiver IFFT in combination with the additional transmitter FFT provides a smaller ICI on undesired subcarriers while maintaining the same signal strength on the desired subcarrier as that of the existing OFDM system. Consequently, the additional transmitter FFT and additional receiver IFFT improves the signal to ICI ratio and effectively mitigates ICI.

The system includes a conventional OFDM operation with conventional transform processes and a parallel OFDM operation with an additional transform process. These transform processes are preferably the same FFT and IFFT transform processes, but in reversed order. Either a code division multiplexing, time division multiplexing or frequency division multiplexing can be applied to the multiplexer. The transmitter provides two baseband signals received and processed by the receiver. The parallel OFDM receiver module preferably contains the demultiplexer and a receiver IFFT. The demultiplexer demultiplexes the two mixed received signals inversely to the

1 multiplexing of the multiplexer in the transmitter. The  
2 demultiplexer provides two separate parallel signals in the  
3 receiver. These two received signals are respectively forwardly  
4 and inversely transformed simultaneously and then averaged to  
5 obtain average output signal providing the final signal  
6 indicating the estimated input symbol sequence of the  
7 transmitter. The averaging of the receiver output signals  
8 improves the frequency offset limitations.

9

10 Referring to Figures 1A through 2, and more particularly  
11 to Figure 2, the weighting factor for the system can be reduced  
12 on a particular subcarrier, that leaks to each of the other  
13 undesired subcarriers. The magnitudes of the weighting factors  
14 of the parallel OFDM system with a frequency offset of  $0.2 \cdot \Delta f$   
15 are indicated for a 16-point FFT. Without losing the  
16 generality, a desired signal can have a frequency index of  
17 zero. The desired signal power should ideally be completely on  
18 the subcarrier with a frequency index zero for the FFT  
19 operation. When there is no frequency offset, the weighting  
20 factor should be 1.0 at the frequency index zero, and the  
21 weighting factor should be zero for all other indices. For  
22 weighting factors of a 16-point FFT with a frequency offset of  
23  $0.2 \cdot \Delta f$ , the weighting factor on the desired signal is less than  
24 1 and those on other undesired sub-carriers are greater than 0.  
25 These non-zero weighting factors represent ICI as a limitation  
26 on the frequency offset that an OFDM receiver can tolerate.

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1 Referring to Figures 1A through 3, and more particularly  
2 to Figure 3, the system provides significant advantage of  
3 signal to ICI power ratio over the conventional OFDM systems  
4 when frequency offset exists. Figure 3 shows the signal to ICI  
5 power ratio (SICIR) as a function of frequency offset for N=16.  
6 The system has a SICIR advantage of about 7 dB improvement at a  
7 frequency offset of  $0.04 \cdot \Delta f$  for N=16. Consequently, this  
8 parallel OFDM system improves the SICIR and effectively  
9 mitigates the ICI problem.

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11 Referring to all of the Figures, and more particularly to  
12 Figure 4, a performance comparison in an AWGN channel between  
13 the conventional and the new parallel OFDM systems for N=16 is  
14 depicted. Without increasing signal power, when each branch at  
15 the transmitter is at half of an original signal power, the  
16 system provides improved tracking capability. The new parallel  
17 architecture expands the  $0.04 \cdot \Delta f$  frequency offset limitation of  
18 the conventional architecture to  $0.06 \cdot \Delta f$  when N=16. This  
19 increase indicates that the relative speed as an effectively  
20 Doppler shift is allowed to increase 50% from the current  
21 limitation without losing communication. This improvement can  
22 also be directly applied to the coarse signaling detection and  
23 acquisition process for digital communications.

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25 The parallel OFDM system is well suited for satellite and  
26 wireless communications such as cellular base stations and  
27 mobile communication systems. The present invention preferably  
28 uses frequency division, but can be expanded to code division

1 and time division multiplexing systems. Those skilled in the  
2 art can make enhancements, improvements, and modifications to  
3 the invention, and these enhancements, improvements, and  
4 modifications may nonetheless fall within the spirit and scope  
5 of the following claims.

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